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Replies to initial written and supplementary questions raised by Finance Committee Members in examining the Estimates of Expenditure 2020-21

Director of Bureau : Director of Administration
Session No. : 6

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CSO003

CONTROLLING OFFICER'S REPLY

(Question Serial No. 2589)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

Under the prevailing policies on government records management, Bureaux/Departments (B/Ds) are required to establish and implement a comprehensive records management programme having regard to their unique operational and management needs. B/Ds are required to appoint a Departmental Records Manager (DRM) to assist in the implementation of the departmental records management programme. Please inform this Committee of the following:

- (a) What is the job description of a DRM?
- (b) Have all government departments appointed a DRM? If so, how many DRMs are there in total? If not, how many government departments have not yet appointed their DRMs; and when do they plan to appoint one?
- (c) Regarding the qualifications of DRMs,
 - (i) please set out the present grades and ranks of the DRMs in each B/D respectively;
 - (ii) have the serving DRMs received professional training on records management? If so, please set out the names of the professional training programmes and the number of people who have received such training; and
 - (iii) apart from professional training, the Government Records Service also provides internal records management training to staff members with operational needs, including DRMs. How many serving DRMs have received such training on records management in the past 5 years? Please provide the names of the training programmes, if any.

Asked by: Hon CHAN Tanya (LegCo internal reference no.: 35)

Reply:

The requirements of appointing a Departmental Records Manager (DRM) as well as their duties are detailed in General Circular No. 2/2009 entitled “Mandatory Records Management Requirements”. According to the guidelines of this circular, DRMs have a key role to play in records management of their respective bureau/department (B/D) and B/Ds should hence designate a sufficiently senior officer to take up this role to ensure sufficient attention from the senior management to their records management. The major duties of the DRMs include ensuring that the design of the recordkeeping system, the choice of equipment, and the use of resources and space are as efficient and cost-effective as possible. The detailed job description of DRMs is set out at **Annex**.

All B/Ds have appointed their respective DRM(s). The respective grade and rank of DRMs as at 31 December 2019 are tabulated below:

Grade	Rank	Number of staff
Executive Officer	Senior Principal Executive Officer	1
	Principal Executive Officer	12
	Chief Executive Officer	44
	Senior Executive Officer	20
Registry Manager (Companies Registry)	Registry Manager	1
Immigration Officer (Immigration Department)	Principal Immigration Officer	1
Investigator (Independent Commission Against Corruption *) (ICAC)	Principal Investigator	1
Commission Against Corruption Officer (ICAC *)	Senior Commission Against Corruption Officer	1
Hospital Administrator (Department of Health)	Chief Hospital Administrator	1
Manager (Hong Kong Monetary Authority)	Manager	1
	Total:	83

* ICAC has designated 2 DRMs.

The Government Records Service (GRS) has organised various kinds of records management training programmes to meet DRMs’ routine operational and management needs. These programmes include regular courses, records management seminars, briefings, etc. DRMs may participate in these courses and programmes according to their needs. The relevant officers in GRS will offer professional training on appraising and describing records that possess archival value, preservation of digital records and conservation of records. DRMs may seek assistance from GRS if necessary. As GRS’ training programmes are open to DRMs and other colleagues, we do not maintain statistics exclusively on DRMs. Notwithstanding this, according to GRS’ information, for the 2 records management seminars held in 2017, among the 175 participants, 58 were serving DRMs and 117 their assistants at the time of attending these seminars. In another briefing session held in 2019, among the 255 participants, 52 were serving DRMs at the time of attending the briefing. Regarding electronic records management and electronic recordkeeping system, GRS also held 19 training courses in the past 5 years. Among the 447 participants, 97 were the then serving DRMs.

In the latest Training Plan, GRS has continued to strengthen training for DRMs and their assistants through different modes. These include organising tailor-made regular records management seminars, experience sharing sessions and training courses for new DRMs, as well as producing “Information Kit for DRMs”, video clips, and creating a “DRMs’ Corner” on the Records Management Theme page of the Central Cyber Government Office, etc.

Major Duties of Departmental Records Manager

- (a) Ensure that the design of the recordkeeping system, the choice of equipment and the use of resources and space are as efficient and cost-effective as possible;
- (b) Establish, implement and document departmental records management practices and procedures according to the guidelines and instructions of the GRS;
- (c) Provide records management staff with appropriate training and guidance to supplement those provided by GRS, having regard to the operational needs of the B/D;
- (d) Appoint Assistant Departmental Records Manager(s), where necessary, to monitor records management routines;
- (e) Introduce the use of technology in a cost-beneficial manner to any aspect of the records management function that improves operation of the organisation and helps achieve the records management policy of the government;
- (f) Use GRS' records centres as far as practicable to store, service and dispose of inactive records;
- (g) Facilitate records appraisal and records access review conducted by the Public Records Office of GRS and ensure prompt and systematic transfer of archival records to the Public Records Office for preservation;
- (h) Identify and protect vital records so as to ensure their availability in the event of any emergency or disaster;
- (i) Foster cooperation between records management personnel and other staff to facilitate the most effective management of departmental records;
- (j) Cooperate with GRS in evaluating and improving the effectiveness of the records management programme on a regular basis;
- (k) Approve new records classification schemes and review records classification schemes every 2 to 3 years;
- (l) Conduct investigation into cases involving loss or unauthorised destruction of records, take appropriate follow-up action, and report findings to GRS; and
- (m) Consult GRS when records management advice is required.

(Notes: This list is adapted from Appendix I to General Circular No. 2/2009 entitled “Mandatory Records Management Requirements”.)

- End -

CONTROLLING OFFICER'S REPLY

CSO004

(Question Serial No. 2592)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

In the past 5 years (from 2015 to 2019),

- (a) was there any loss of confidential records (classified records) by bureaux/departments (B/Ds)? If so, please set out one by one in table the departments concerned (rather than giving a general total number), and the numbers of cases and records involved;

Year

Department (please set out one by one rather than giving a general total number)	Number of cases involved	Number of records involved

- (b) regarding the loss of non-confidential (unclassified) programme files, please set out one by one in table the departments involved (rather than giving a general total number) and the title(s) of the missing programme files;

Year

Department (please set out one by one rather than giving a general total number)	Title of missing non-confidential programme files

- (c) as mentioned by the Government, there were certain cases of loss of records in which no disciplinary action or administrative measure was taken against any of the staff because it was impossible to identify the staff who should be held accountable for the cases. Please provide the names of the departments concerned, and the numbers of cases and staff involved in each year;

Year

Department (please set out one by one rather than giving a general total number)	Number of cases in which no disciplinary action or administrative measure was taken against any of the staff because it was impossible to identify staff who should be held accountable for the cases and the number of staff involved

- (d) regarding the unauthorised destruction of records, please set out one by one in table the departments involved (rather than giving a general total number) and the title(s) of non-confidential programme files destroyed without authorisation.

Year

Department (please set out one by one rather than giving a general total number)	Title of non-confidential programme files destroyed without authorisation

Asked by: Hon CHAN Tanya (LegCo internal reference no.: 38)

Reply:

In accordance with the General Circular No. 2/2009 “Mandatory Records Management Requirements” issued by the Government in April 2009, any loss or unauthorised destruction of records should be immediately reported to the Departmental Records Managers (DRMs) of the bureau/departments (B/D)s concerned immediately, with a copy of the report to the Government Records Service (GRS) simultaneously. Upon receipt of the report, the DRM should-

- (a) ascertain the facts (including the types, numbers and storage media, etc. of records involved) and identify the circumstances leading to the loss or unauthorised destruction of records;
- (b) reconstruct the records where necessary;
- (c) take steps to prevent recurrence;
- (d) consider whether any disciplinary action or other administrative action is necessary; and
- (e) report his findings and actions on (a) to (d) above to GRS within 3 months.

The above measures enable GRS to monitor whether the follow-up actions taken by B/Ds in respect of investigations of cases involving the loss or unauthorised destruction of records are appropriate, and to make recommendations for improvement from the records management perspective. As revealed from the cases handled, loss or unauthorised destruction of records is mainly due to negligence, insufficient monitoring or improper handling of records, etc.

Regarding the information requested in the question, our reply is as follows:

- (a) From 2015 to 2019, GRS received and completed processing cases involving the loss of confidential records of the following B/Ds:

Year	Department	Number of cases involved	Number of confidential records involved
2015	Hong Kong Police Force	1	14
2016	Buildings Department	1	2
2017	Independent Commission Against Corruption	1	1
2018	Hong Kong Police Force	1	1
2019	--	--	--

- (b) From 2015 to 2019, GRS received and completed processing cases involving the loss of non-confidential programme files of the following B/Ds:

Year	Department	Number of cases involved	Number and information of loss of non-confidential programme files
2015	Agriculture, Fisheries and Conservation Department	1	4 files relating to pests and the protection of animals and plants
	Civil Engineering and Development Department	1	1 file relating to the functions and responsibilities of the department
	Education Bureau	1	2 case files relating to school placement and support
	Hong Kong Observatory	1	1 file relating to the meteorological information above a broadcasting station
	Hong Kong Police Force	2	1 investigation report and 3 loose minutes
	Home Affairs Department	1	1 file relating to the procurement service documents regarding the posting of emblems at the designated spots for election advertisement at venues of the Rural Representative Election
	Leisure and Cultural Services Department	1	1 file relating to music group
	Security Bureau	1	1 case file relating to immigration case

Year	Department	Number of cases involved	Number and information of loss of non-confidential programme files
2016	Agriculture, Fisheries and Conservation Department	1	4 files relating to enquiries and investigation reports
	Buildings Department	1	25 files of building cases
	Fire Services Department	1	1 file relating to dangerous goods vehicles
	Home Affairs Bureau	1	10 files relating to advisory and statutory bodies
	Hong Kong Police Force	3	2 divisional report files and 1 case file
	Labour Department	2	2 files of investigation cases
	Social Welfare Department	1	2 files relating to cases of the Integrated Family Service Centres
2017	Civil Aviation Department	1	3 files relating to air-worthiness standards
	Fire Services Department	1	4 case files relating to fire safety
	Hong Kong Police Force	3	2 divisional reports and 1 file relating to investigation report
	Housing Department	2	27 case files relating to Deeds of Guarantee for mortgage and 1 file relating to consultancy projects
	Independent Commission Against Corruption	1	1 file relating to corruption prevention
	Labour Department	1	4 files of investigation cases
	Legal Aid Department	1	1 file relating to newspaper cuttings
	Social Welfare Department	3	3 files relating to 1 care and attention home for the elderly and 2 case files relating to Integrated Family Service Centres
2018	Department of Health	1	1 case file relating to patient records
	Education Bureau	1	2 files relating to building schools
	Lands Department	1	12 files of District Lands Offices
	Transport Department	1	5 files of Regional Offices
	Water Supplies Department	1	15 files relating to works projects and general administrative work

Year	Department	Number of cases involved	Number and information of loss of non-confidential programme files
2019	Official Receiver's Office	1	3 files of bankruptcy cases

- (c) Upon receiving a report on the loss of records, the DRM will ascertain the facts and identify the circumstances leading to the loss in accordance with the mechanism set out in the first paragraph of this reply and consider whether disciplinary action or other administrative measures are necessary. If government officer(s) has/have violated the mandatory records management requirements and/or any negligence in records management duties, the B/D concerned will take disciplinary action or other administrative measures commensurate with the circumstances and severity of the case. GRS will also review the relevant decisions of B/Ds.

From 2015 to 2019, the GRS received and completed processing 121 cases of loss of records. Of this total, accountable staff were identified in 67 cases, and disciplinary action or other administrative measures were taken against a total of 111 staff. As for the remaining 54 cases, as the investigation could not identify the staff who should be held accountable, no disciplinary action or administrative measure was taken against any staff. Nonetheless, the B/Ds concerned had implemented appropriate improvement measures to prevent the recurrence of similar incidents, and had reminded staff members to perform records management duties properly to enhance the effectiveness of records management. These measures included organizing seminars on records management, giving advice and reminders to staff performing records management duties and circulating departmental policies and rules for records management regularly.

The 54 cases for which no disciplinary action or administrative measure was taken against any staff as the investigation was unable to identify the staff who should be held accountable are tabulated below:

Year	Department	Number of cases in which no disciplinary action or administrative measure was taken against any staff as the investigation was unable to identify the staff who should be held accountable [Note: As the B/Ds were unable to identify the staff who should be held accountable for the cases, we can only provide the number of cases and the information of the files, but not the number of staff involved]	
		Number of cases	Information of files
2015	Agriculture, Fisheries and Conservation Department	1	4 files relating to pests and the protection of animals and plants

Year	Department	Number of cases in which no disciplinary action or administrative measure was taken against any staff as the investigation was unable to identify the staff who should be held accountable [Note: As the B/Ds were unable to identify the staff who should be held accountable for the cases, we can only provide the number of cases and the information of the files, but not the number of staff involved]	
		Number of cases	Information of files
	Civil Engineering and Development Department	1	1 file relating to the functions and responsibilities of the department
	Education Bureau	1	2 case files relating to school placement and support
	Fire Services Department	4	1 vehicle logbook, 9 fire safety compliance orders, 1 fuel-voucher book and 1 government vehicle pass
	Hong Kong Observatory	1	1 file relating to the meteorological information above a broadcasting station
	Hong Kong Police Force	1	1 notebook
	Immigration Department	1	498 arrival and departure cards
	Leisure and Cultural Services Department	1	1 file relating to musical group
	2016	Agriculture, Fisheries and Conservation Department	1
	Buildings Department	1	27 files on building cases
	Commerce and Economic Development Bureau	1	1 file relating to air mail postage
	Education Bureau	1	1 file relating to primary school mathematics
	Fire Services Department	2	1 government vehicle pass and 1 book of vouchers for stores
	Home Affairs Bureau	1	10 files on advisory and statutory bodies
	Hong Kong Police Force	1	1 record on divisional report
	Housing Department	1	1 file relating to redeveloped flats

Year	Department	Number of cases in which no disciplinary action or administrative measure was taken against any staff as the investigation was unable to identify the staff who should be held accountable [Note: As the B/Ds were unable to identify the staff who should be held accountable for the cases, we can only provide the number of cases and the information of the files, but not the number of staff involved]	
		Number of cases	Information of files
	Labour Department	1	1 file of investigation case
2017	Fire Services Department	2	1 book of government vehicle pass and 4 case files relating to the Fire Safety (Buildings) Ordinance
	Food and Environmental Hygiene Department	1	4 Records of Service
	Hong Kong Police Force	4	1 file of investigation report, 14 penalty tickets and 8 vouchers for stores
	Housing Department	3	1 Record of Service, 27 case files relating to Deeds of Guarantee for mortgage and 1 file relating to consultancy projects
	Independent Commission Against Corruption	2	2 files relating to corruption prevention
	Labour Department	1	closed-circuit television system records
	Legal Aid Department	1	1 file of newspaper cuttings
2018	Department of Health	1	1 case file relating to patient records
	Education Bureau	1	2 files relating to building schools
	Highways Department	1	1 monthly progress report
	Hong Kong Police Force	6	15 property receipts, 1 inspection book, 1 book of voucher for stores and 1 file
	Housing Department	1	7 work site photographs
	Lands Department	1	12 files of District Land Offices
	Transport Department	1	5 files of regional offices
	Water Supplies Department	1	15 files relating to works projects and general administrative work

Year	Department	Number of cases in which no disciplinary action or administrative measure was taken against any staff as the investigation was unable to identify the staff who should be held accountable [Note: As the B/Ds were unable to identify the staff who should be held accountable for the cases, we can only provide the number of cases and the information of the files, but not the number of staff involved]	
		Number of cases	Information of files
	Working Family and Student Financial Assistance Agency	1	1 loose minute on the hours of work of non-civil service contract staff
2019	Fire Services Department	1	1 Repair Voucher for Stores on Inventory Charge
	Hong Kong Police Force	3	2 property receipts and 1 bail receipt
	Official Receiver's Office	1	3 files of bankruptcy cases

- (d) Under the mandatory records management requirements, B/Ds should, in disposing records upon their expiry of the retention period, assign a senior officer not below the rank of Senior Executive Officer or equivalent to consider and endorse in writing the disposal decision. The prior agreement of the GRS Director has to be sought before any government records can be destroyed. The DRM will investigate the case according to the investigation procedures as set out in the first paragraph of this reply upon receiving a report on unauthorised destruction of records.

The cases concerning unauthorised destruction of non-confidential programme files which GRS had received and completed processing from 2015 to 2019 are tabulated below:

Year	Department	Number of cases	Number and information of non-confidential programme files destroyed without authorisation
2015	--		--
2016	Highways Department	1	105 time-expired files relating to works carried out by the Lighting Division (Note 1)
	Hong Kong Police Force	1	1 245 files of investigation reports (Note 2)
2017	Hong Kong Police Force	2	1 500 investigation reports (Note 2) and 17 files on police operation (Note 3)
	Labour Department	1	75 time-expired files of the Labour Relations Division (Note 4)
2018	--		--
2019	--		--

Notes:

- 1 The department had made a request to GRS for disposal of the batch of records in question. However, due to improper monitoring on the part of the staff concerned, the records pending approval were mistakenly destroyed by the contractor. The department has taken administrative action against the staff.
- 2 The staff concerned destroyed the records in question without obtaining the prior approval of the GRS Director mainly because they were unfamiliar with the relevant mandatory requirements on the retention and disposal of records. The department has taken disciplinary action or administrative action against the staff.
- 3 The department had made a request to GRS for the disposal of the batch of records in question. However, the records pending approval were mistakenly destroyed by the staff concerned. The department has taken disciplinary action against the staff.
- 4 The department had made a request to GRS for the disposal of the batch of records in question. However, the records pending approval were mistakenly destroyed by the staff concerned. The department has taken administrative action against the staff.

- End -

CONTROLLING OFFICER'S REPLY

CSO005

(Question Serial No. 2593)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

- (a) Please set out in table form the details and outcome of applications for access to closed archival records received by the Government Records Service (GRS) from members of the public in the past 5 years, including: (i) the title and content of the records to which access was requested, (ii) covering period of the records, (iii) the departments involved, and (iv) the final decisions of the Administration Wing.

Year

(i) Title and content of the records to which access was requested	(ii) Covering period of the records	(iii) Departments involved	(iv) Final decisions of the Administration Wing

- (b) Please set out in table form the access status of archival holdings currently kept by the GRS.

Access status	Number of archival holdings
Open	
Application for access required	
Checking required	
Stored in Records Centres	
Others (if any)	
Total number of archival holdings	

Asked by: Hon CHAN Tanya (LegCo internal reference no.: 39)

Reply:

(a) Details of the applications which the Government Records Service (GRS) has received in the past 5 years for accessing closed archival records are as below:

Year	Number of applications for accessing records (Note 1)	Number of records applied for access (Note 2)	Records series	Application results	
				Number of successful applications	Number of rejected applications
2015	44	161	District development, youth policy, Chinese traditional festivals, town planning, public transport, etc.	42	1
2016	74	202	Antiquities and monuments, New Territories development, Chinese traditional festivals, education, district development, etc.	71	0
2017	84	471	Antiquities and monuments, New Territories development, public library services, education, Chinese traditional festivals, etc.	83	0
2018	68	402	New Territories development, public transport, waste treatment, festivals, urban renewal, etc.	65	1
2019	106	328	Nature conservation, New Territories development, temple management, education, district development, etc.	83	0

Note 1:

- a. In 2015, 1 case was withdrawn by the applicant.
- b. In 2016, 3 cases were withdrawn by applicants.
- c. In 2017, 1 case was directed to use the service of the bureau/department (B/D) concerned.
- d. In 2018, 1 case was withdrawn by the applicant and 1 case was directed to use the service of the B/D concerned.
- e. By the end of February 2020, among the cases received in 2019, 16 were under processing, 3 cases withdrawn by applicants, and 4 cases directed to use the services of the B/Ds concerned.

Note 2: As a significantly large number of records is involved, we are unable to list out the record titles, periods covered and the names of relevant B/Ds.

- (b) At present, GRS has about 1 692 000 holdings. Among them, about 819 000 are archival records open for public inspection. Inspection of archival records kept by GRS is regulated under the Public Records (Access) Rules 1996. In general, the public may inspect archival records which have been in existence for not less than 30 years or the contents of which have been published. For records which have been in existence for more than 30 years and have been transferred to GRS, if the B/D concerned and GRS consider upon review that the content is still sensitive and thus inappropriate for opening for the time being, the B/D concerned is required to further review the record once every 5 years until the record is eventually opened. For applications for access to archival records which are in existence for less than 30 years, GRS will consult the transferring B/Ds and encourage them to open the records for public access.

- End -

CONTROLLING OFFICER'S REPLY

CSO006

(Question Serial No. 2595)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

Regarding the posting and qualification of Executive Officers (EOs) serving in offices of Government Records Office (GRS) not having Archivists in their establishment (i.e. the Records Management and Administration Office (RMAO) and the Record Systems Development Office (RSDO)) in 2019, please inform this Committee of the following:

- (a) What are the ranks and numbers of EOs serving in the RMAO and the RSDO respectively as at 31 December 2019?
- (b) Regarding the qualification of EOs serving in the GRS, please list the numbers of EOs with qualification related to records management or archival records management serving in the RMAO and the RSDO respectively as at 31 December 2019.

(i) RMAO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		

(ii) RSDO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		

- (c) In connection with item (b), please list the details of the professional training on records management, internal or external, received by the EOs after being transferred to the RMAO and the RSDO respectively as at 31 December 2019:

(i) RMAO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		
Internal training	Name of programme	Number of people

(ii) RSDO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		
Internal training	Name of programme	Number of people

- (d) Regarding the duration of service of EOs in the GRS, please set out in table form the numbers of EOs serving in the RMAO and the RSDO by the number of years they served in the same post when they were posted out of the GRS in 2015, 2016, 2017, 2018 and 2019:

2015 (example)

Number of years of service in the same post when posted out of the GRS	Number of people							
	RMAO				RSDO			
	EOII	EOI	SEO	CEO	EOII	EOI	SEO	CEO
1								
2								
3								
4								
5								
Over 6								

Asked by: Hon CHAN Tanya (LegCo internal reference no.: 41)

Reply:

- (a) The ranks and establishment of Executive Officers (EOs) serving in the Records Management and Administration Office (RMAO) and the Record Systems Development Office (RSDO) of the Government Records Service (GRS) as at 31 December 2019 are tabulated below:

Rank	Establishment	
	RMAO	RSDO
Chief Executive Officer (CEO)	1	1
Senior Executive Officer (SEO)	4	2
Executive Officer I (EO I)	4	1
Executive Officer II (EO II)	3	2

- (b) & (c)

Records management covers a wide range of professional areas and management disciplines. GRS is made up of staff from different professional grades including Archivist, Executive Officers (EOs), Curator (Conservation), Systems Manager, etc. They all excel in and devote to their respective areas of responsibilities, working in close collaboration with each other.

Regarding Public Records Office (PRO) and Legislation and Planning Office (LPO), as the work involved (including selection, arrangement and preservation of archival records, promotion and reference services, etc) requires the incumbents to possess relevant professional knowledge and skills, both offices are staffed mainly by officers of the Archivist grade. The Preservation Service Office is primarily staffed by officers of the Curator (Conservation) grade.

As regards the RMAO and RSDO of GRS, these 2 offices are mainly responsible for the management duties relating to administration, records, human resources, systems and resources, etc., alongside with other aspects of work such as external liaison, training, application and co-ordination of information technology etc, all of such duties should be performed by officers proficient in management and planning skills. These 2 offices are therefore primarily staffed by officers of the EO grade.

For the continuous enhancement of professional knowledge of staff, GRS has developed a structured training and development programme to strengthen staff's competence. As at 31 December 2019, the records management training which EOs of RMAO and RSDO had received after assuming office as at 31 December 2019 is tabulated below:

(i) RMAO

External Training	Title of programme	Number of officers
	AIIM ^{Note} Electronic Records Management Certificate Programme (AIIM ERM Practitioner)	4
	AIIM Electronic Records Management Certificate Programme (AIIM ERM Specialist)	8
	AIIM - Practical Artificial Intelligence for the Information Professional Certificate Programme	2
Internal Training	Title of programme	Number of officers
Regular training on records management	Government Records Management - An Overview	4
	Government Records Classification and Coding - Design and Implementation	2
	Records Scheduling and Disposal - Planning and Co-ordination	3
	Records Management Course for Senior Executive Officers	1
	Management Development Programme for Executive Officer I: Records Management Module	1
	GRS Familiarisation Programme	4
Electronic Recordkeeping System (ERKS)	ERKS Implementation: Review of Records Classification Scheme	3
	Briefing on Introduction of ERKS and Preparation for ERKS Implementation	4
	ERKS Refresher Training for Records Management Staff	5
	ERKS Refresher Training for Records Manager	6
	ERKS Refresher Training for Records Users	7
	Experience Sharing Session on ERKS: Tips for Effective Use of an ERKS	1
	Experience Sharing Session on ERKS: Changes from Paper-filing to Electronic-filing through ERKS	1
	ERKS Enhancement Project Training for Records Users	1
	ERKS Enhancement Project Training for Records Management and IT staff	1
	ERKS Enhancement Project Training	2

(ii) RSDO

External Training	Title of programme	Number of officers
	AIIM ^{Note} Electronic Records Management Certificate Programme (AIIM ERM Practitioner)	2
	AIIM Electronic Records Management Certificate Programme (AIIM ERM Specialist)	2
	AIIM's Managing Content in the Cloud	1
	AIIM's Modern Records Management Master	4
	AIIM's Information Governance Specialist	1
	Society of American Archivists' Web Archiving Fundamentals	1
Internal Training	Title of programme	Number of officers
Regular training on records management	Government Records Management - An Overview	1
	Government Records Classification and Coding - Design and Implementation	2
	Records Scheduling and Disposal - Planning and Co-ordination	4
	GRS Familiarisation Programme	3
ERKS	ERKS Refresher Training for Records Management Staff	3
	ERKS Refresher Training for Records Manager	1
	ERKS Refresher Training for Records Users	3
	ERKS Enhancement Project Training for Records Users	2

Note: AIIM (“Association for Intelligent Information Management”) is formerly known as “Association for Information and Image Management”.

- (d) The number of years which EOs of RMAO and RSDO had served in the same post when they were posted out during the period from 2015 to 2019 is tabulated below:

Number of years which EOs had served in the same post when they were posted out of the GRS	Number of officers							
	RMAO				RSDO			
	EO II	EO I	SEO	CEO	EO II	EO I	SEO	CEO
1	0	0	0	0	0	0	0	0
2	4	0	0	0	3	0	0	0
3	2	0	0	0	1	0	1	0
4	0	1	0	0	0	1	0	0
5	0	2	0	0	0	0	0	0
6 or above	0	0	2	1	0	0	1	0

- End -

CONTROLLING OFFICER'S REPLY**CSO007****(Question Serial No. 2596)**

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

Regarding the posting and qualification of Archivists serving in the Government Records Service (GRS), please inform this Committee of the following:

- (a) What are the ranks and numbers of Archivists serving in the Preservation Service Office (PSO), Record Systems Development Office (RSDO), Public Records Office (PRO) and Legislation and Planning Office (LPO) respectively as at 31 December 2019?
- (b) Regarding the qualification of Archivists serving in the GRS, please list the numbers of Archivists with qualification related to records management or archival records management serving in the PSO, RSDO, PRO and LPO respectively as at 31 December 2019:

(i) PSO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		

(ii) RSDO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		

(iii) PRO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		

(iv) LPO

Qualification related to records management or archival records management	Name of qualification	Number of people
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		

- (c) In connection with item (b), please list the details of the professional training on records management, internal or external, received by the Archivists after being deployed to the PSO, RSDO, PRO and the LPO respectively, and specify the numbers of them having completed the programmes as at 31 December 2019:

(i) PSO

Qualification related to records management or archival records management	Name of qualification	Number of participants and number of people having completed the programme(s)
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		
Internal training	Name of programme	Number of participants

(ii) RSDO

Qualification related to records management or archival records management	Name of qualification	Number of participants and number of people having completed the programme(s)
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		
Internal training	Name of programme	Number of participants

(iii) PRO

Qualification related to records management or archival records management	Name of qualification	Number of participants and number of people having completed the programme(s)
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		
Internal training	Name of programme	Number of participants

(iv) LPO

Qualification related to records management or archival records management	Name of qualification	Number of participants and number of people having completed the programme(s)
Diploma		
Bachelor's degree		
Master's degree		
Doctoral degree		
Internal training	Name of programme	Number of participants

Asked by: Hon CHAN Tanya (LegCo internal reference no.: 42)

Reply:

- (a) As at 31 December 2019, there were a total of 24 Archivist Grade staff in the Government Records Service (GRS) who served in the Public Records Office (PRO) and the Legislation and Planning Office (LPO) respectively, details of which are tabulated below:

Rank	Number of officers	
	PRO	LPO
Archivist	2	1
Senior Assistant Archivist	6	2
Assistant Archivist	11	2

- (b) Records management covers a wide range of professional areas and management disciplines. GRS is made up of staff from different professional grades including Archivist, Executive Officers (EOs), Curator (Conservation), Systems Manager, etc. They all excel in and devote to their respective areas of responsibilities, working in close collaboration with each other.

Regarding PRO and LPO, as the work involved (including selection, arrangement and preservation of archival records, promotion and reference services, etc) requires the incumbents to possess relevant professional knowledge and skills, both offices are

staffed mainly by officers of the Archivist grade. The Preservation Service Office is primarily staffed by officers of the Curator (Conservation) grade.

As regards the Records Management and Administration Office and the Record Systems Development Office of GRS, these 2 offices are mainly responsible for the management duties relating to administration, records, human resources, systems and resources, etc., alongside with other aspects of work such as external liaison, training, application and co-ordination of information technology etc, all of such duties should be performed by officers proficient in management and planning skills. These 2 offices are therefore primarily staffed by officers of the EO grade.

All members of the Archivist grade have acquired a Bachelor Degree in History, Political Science, Public Administration, Information Management and Library Studies, Archives and Records Management or a equivalent subject, or equivalent qualifications, or post-graduate research or study in History, Political Science, Public Administration, Information Management and Library Studies, Archives and Records Management or a equivalent subject, or have received 2 years' relevant post-graduate training. As at 31 December 2019, the number of staff with qualifications related to records management or archival records management are as follows:

(i) PRO

Qualifications related to records management or archival records management	Name of qualifications	Number of officers
Diploma	Information Management and Library Studies	1
	Archives and Records Management	1
	Certified Archivist	1
Bachelor's degree	Bachelor of Arts in History	16
	Bachelor of Social Sciences in Political Science/Government and Public Administration/Political Science and International Relations	3
Master's degree	History	13
	Political Science (including Law and Public Administration/International Relations/Political Science and Administration/Public Policy and Management)	4
	Social sciences (Public Administration)	1
	Librarianship	1
Doctoral degree	Humanities (Social History, History, Culture and Anthropology)	4

(iv) LPO

Qualification related to records management or archival records management	Name of qualification	Number of officers
Diploma	History Education	1
	Certified Archivist	1
Bachelor's degree	Bachelor of Arts in History	4
	Bachelor of Social Sciences in Administration and Public Management	1
Master's degree	History	3
	Archives and Records Management	1
	Contemporary Chinese Studies	1
	Sociology	1
	Humanities	1
Doctoral degree	Humanities (History)	2

- (c) GRS appreciates the importance of continuous enhancement of the professional knowledge of its staff and has developed a structured training and development programme to strengthen their competence. Newly recruited Assistant Archivists are provided with in-house training and are required to pass a proficiency test after 1 year's service. Upon passing the test, they are required to take a post-graduate programme on archives and records management. This training programme comprises programmes on archives management, records management as well as digital preservation provided by recognised professional bodies. Details of the professional training programmes in archives management, including internal and external ones, which Archivists had received as at 31 December 2019 are tabulated below:

(i) PRO

Internal training	Name of programme	Number of officers
Training for Archivist grade	In-house Training Programme for Newly-recruited Assistant Archivist	19
	Career Development Training Programme for Assistant Archivist	5
Regular programme on records management	Government Records Management - An Overview	1
	Records Scheduling and Disposal - Planning and Co-ordination	14
	Records Scheduling and Disposal	3
	Records Management for Registry Supervisors - Administrative Records	1
	Records Management for Registry Supervisors - Programme Records	1
	Application Training for Records Users	1
	Records Management Programme	8
	GRS Familiarisation Programme	9

Internal training	Name of programme	Number of officers
Electronic recordkeeping system (ERKS)	ERKS Implementation: Review of Records Classification Scheme	1
	Briefing on Introduction of ERKS and Preparation for ERKS Implementation	10
	ERKS Refresher Training for Records Manager	2
	ERKS Refresher Training for Records Users	13
	Enhancement of GRS' ERKS Application Training for Records Users	9

External training	Name of programme	Number of officers
	Records and Information Management Certificate by the Association of Records Managers and Administrators, United States of America (USA)	4
	Postgraduate Diploma in Archival Records and Records Management by the University of Dundee, United Kingdom (UK)	5
	Metadata Standards and Information Taxonomies by the University of Dundee, UK	1
	Standards for Digital Archives by the Society of American Archivists	3
	Information Architecture by the Society of American Archivists	2
	Acquiring, Managing, and Preserving Born-Digital Archives by the Association of Southeastern Research Libraries	1
	Rights and Confidentiality by the Society of American Archivists	2
	Thinking Digital: A Practical Session to Help You Get Started by the Society of American Archivists	3
	Email Preservation by the Society of American Archivists	2
	Electronic Records Management Certificate Programme (ERM Practitioner) (Note 1) by the Association for Information and Image Management (AIIM)	1
	Practical Artificial Intelligence for the Information Professional Certificate Programme by AIIM	1
	Appraisal by the Australian Society of Archivists	11

External training	Name of programme	Number of officers
	Context Control and Documentation by the Australian Society of Archivists	3
	Digital Records by the Australian Society of Archivists	4
	Basic Training Course on the Conservation and Restoration by the Macao Institute of Conservation and Restoration of Cultural Relics	1
	Library and Information Management – Book Classification, Cataloging and Subject Cataloging by the School of Continuing and Professional Studies, the Chinese University of Hong Kong	1
	User Experience Design and Digital Archives by the Society of American Archivists	1
	Web Archiving Fundamentals by the Society of American Archivists	1

Note 1: The “Association for Intelligent Information Management” is formerly known as the “Association for Information and Image Management”.

(iv) LPO

Internal training	Name of programme	Number of officers
Training for Archivist Grade	In-house Training Programme for Newly-recruited Assistant Archivist	4
	Career Development Training Programme for Assistant Archivist	2
Regular Records Management Programme	Government Records Management - An Overview	1
	Records Scheduling and Disposal	3
	Records Scheduling and Disposal - Planning and Co-ordination	4
	Records Management Programme	3
	GRS Familiarisation Programme	1
ERKS	Briefing on Introduction of ERKS and Preparation for ERKS Implementation	4
	ERKS Refresher Training for Records User	3
	Enhancement of GRS' ERKS Application Training for Records Users	4

External training	Name of programme	Number of officers
	Records and Information Management Certificate by the Association of Records Managers and Administrators, USA	1

External training	Name of programme	Number of officers
	Postgraduate Diploma in Archival Records and Records Management by the University of Dundee, UK	3
	Appraisal by the Australian Society of Archivists	2
	Web Archiving Fundamentals by the Society of American Archivists	1

- End -

CONTROLLING OFFICER'S REPLY

CSO013

(Question Serial No. 1597)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

Regarding the Government Records Service's work in formulating and implementing government records management policies and programmes as well as identifying and preserving records of archival value, valuable government publications and printed materials, will the Government inform this Committee of the following:

1. The Government has been implementing measures on paperless operation in the workplace. How many government departments will have finished turning their workplace paperless by this year? Is there any plan to go completely paperless in all government offices by a target date?
2. What are the relevant nature, objectives and contents of records management studies and reviews conducted by the department in the past financial year?
3. Regarding the "identification and preservation of records of archival value, valuable government publications and printed materials", did the Government carry out any identification of valuable records or printed materials in the past 3 financial years? If yes, please set out, in table form, their titles, quantities and expenses involved.

Asked by: Hon HO Kwan-yiu, Junius (LegCo internal reference no.: 7)

Reply:

1. The Government has all along been promoting the use of information technology among bureaux/departments (B/Ds) for enhancing work efficiency, so as to provide better services for the public and reduce the use of paper. Since 2011, the Innovation and Technology Bureau has started implementing electronic information management in the Government, including promoting the adoption of the electronic recordkeeping system (ERKS) in B/Ds to reduce the use of paper in official businesses, thereby strengthening records management and enhancing work efficiency.

The Government Records Service (GRS) has been promoting electronic records management and providing support and assistance to B/Ds in collaboration with the Office of the Government Chief Information Officer and the Efficiency Office, enabling them to adopt or develop ERKS for enhancing the management of electronic records.

At present, 11 B/Ds have adopted or started using the ERKS, and 7 of them have ceased to adopt the “print-and-file” practice for filing of records so as to reduce paper consumption. In the Policy Address Supplement promulgated in October 2019, the Government has announced its decision to roll out the ERKS to all B/Ds by the end of 2025 to enhance efficiency in preserving and managing government records.

2. GRS has been adopting a two-pronged approach in assessing and reviewing the records management practices of B/Ds, i.e. through self-assessment conducted by B/Ds and departmental records management reviews conducted by GRS. Upon completion of these self-assessment and departmental reviews, the Director of Administration will convey the findings and recommendations for improvement to the heads of B/Ds concerned for their rectification as soon as possible. GRS will also closely monitor the progress of the B/Ds in implementing the recommendations to ensure that their records management practices comply with the requirements of the Government.

In November 2018, GRS conducted a self-assessment records management review that covered all B/Ds. The aim of that review was to assess to what extent B/Ds had complied with the mandatory records management requirements and their progress in adopting the good practices in records management during the period from 2016 to 2018. The review covered B/Ds’ records management policies, responsibilities and training of records management personnel, establishment of recordkeeping systems, and the entire spectrum of records management issues ranging from records creation to disposal of records.

In the past financial year, GRS conducted in-depth reviews on the records management work of 2 departments to assess their awareness of, commitment to and involvement in practising good records management; evaluate their compliance with the mandatory records management requirements and adoption of good records management practices; and identify areas for improvement. These reviews also help GRS draw up insights for formulating records management recommendations applicable service-wide. The reviews covered the main aspects of records management, including records creation, classification, storage and disposal. During the reviews, the staff of GRS had visited the departments concerned and examined their records management programme through, inter alia, review of the records management documentation concerned, examination of recordkeeping systems, surveys, interviews and focus group discussions. Upon completion of the review, the Director of Administration had conveyed the findings of the reviews and recommendations for improvement to the heads of the departments concerned, who were required to submit a progress report on the implementation of the recommendations to GRS every 6 months until all improvement recommendations have been fully implemented.

GRS has also launched a range of improvement measures in other work areas, including :

- (a) providing comprehensive records management training to all levels of government officers, in particular the newly-recruited government officers. GRS has reviewed and formulated a 3-year training plan to increase the number of training targets on records management from about 4 000 to 10 000 per annum;
- (b) assisting all B/Ds in fully implementing the ERKS by the end of 2025;
- (c) conducting a comprehensive review of B/Ds' records retention and disposal schedules by phases, so as to improve the disposal procedures and relevant records management practices and facilitate the timely transfer of records with archival value to GRS for proper retention; and
- (d) extending the service hours of the Public Records Office (PRO) Search Room of GRS to cover Saturday mornings for use of members of the public with prior appointment from April 2019 onwards.

3. Records appraisal is an important process for ascertaining the archival value of government records. GRS attaches great importance to this task. Making reference to the experience and standards of overseas jurisdictions, Archivist grade officers in GRS have developed a set of assessment guidelines where records meeting any of the following conditions may be selected for permanent retention:

- (a) documenting or reflecting the organisation, functions and activities of government agencies;
- (b) documenting the formulation process, implementation and outcome of significant policies, decisions, legislation and actions of the Government;
- (c) documenting the impact of the decisions, policies and programmes of the Government upon the physical environment, community, organisations and individuals;
- (d) documenting the interaction between the public and the Government as well as between the physical environment and the Government;
- (e) documenting the legal rights and obligations of individuals, groups, organisations and the Government; or
- (f) containing significant or unique information or aged documents that can enrich the understanding about the history, physical environment, society, culture, economy and people of Hong Kong.

The numbers, linear metres and subject matters of records appraised and transferred to GRS for permanent retention in the past 3 years are as follows:

Year	Records appraised		Records transferred to the GRS for permanent retention		Examples of subject matter of archival records
	Number of records	Linear metre	Number of records	Linear metre	
2017	75 376	2 339	50 655	614	Minutes and papers of the Executive Council from the Chief Executive's Office; files relating to public letters and statements from local communities and organisations about the future of Hong Kong and constitutional package from the Constitutional and Mainland Affairs Bureau; files relating to Sewerage Master Plans Study from the Environmental Protection Department; files relating to district administration from the Home Affairs Department; files relating to the resumption and clearance projects for Chek Lap Kok airport and Tung Chung development from the Lands Department; files relating to mail conveyance, parcels and stamp issuance from the Hongkong Post; files relating to examination and licensing matters of aircrew personnel from the Civil Aviation Department; and files relating to programmes administration from the Radio and Television Hong Kong, etc.
2018	133 737	3 004	82 076	606	Files relating to photographs of Governors and Colonial Secretaries as well as minutes and papers of the Executive Council from the Chief Executive's Office; files relating to visits and tours from the Constitutional and Mainland Affairs Bureau; files relating to district administration as well as liaison with district-based community and organisations from the Home Affairs Department; meteorological charts from the Hong Kong Observatory; files relating to district and estate planning matters from the Housing Department; files relating to the Town Planning Board/Metro Planning Committee/Rural and New

Year	Records appraised		Records transferred to the GRS for permanent retention		Examples of subject matter of archival records
	Number of records	Linear metre	Number of records	Linear metre	
					Town Planning Committee from the Lands Department; files relating to broadcasting and film censorship from the Office of Communications Authority; and files relating to urban renewal under Land Development Corporations Study from the Planning Department, etc.
2019	132 032	4 029	55 223	610	Minutes and papers of the Executive Council from the Chief Executive's Office; meteorological charts from the Hong Kong Observatory; files relating to the planning and design of elevated roads and the West Kowloon Highway from the Highways Department; files relating to drainage works, Harbour Area Treatment Scheme and departmental computerisation projects from the Drainage Services Department; files relating to applications for registration of societies from the Hong Kong Police Force; files relating to district administration, community involvement programmes and redevelopment of Shek Kip Mei Estate from the Home Affairs Department; files relating to road works, vehicle safety and transport management from the Transport Department; and files relating to labour legislation, studies on occupational safety, and rehabilitation and employment of people with disabilities from the Labour Department, etc.

As for government publications and printed materials, the Central Preservation Library for Government Publications (CPL) selects and preserves government publications and printed materials with permanent retention value. B/Ds will provide CPL with a copy of new publication and printed materials, and CPL will select suitable library items for preservation. The quantities of publications and printed materials, mainly comprising

gazettes, annual reports, maps and posters published by B/Ds, etc., which CPL selected for preservation in the past 3 years are as follows:

Year	No. of items received	No. of items selected for preservation
2017	1 422	550
2018	1 598	533
2019	2 087	602

Note: The above figures are calculated by calendar year. We do not keep statistics in “linear metre” for selected library items.

The appraisal and preservation of records possessing archival value and government publications and printed materials are undertaken by archivists of PRO in GRS as part of their ongoing work. Therefore, GRS is unable to calculate the expenditure incurred on each work

- End -

CONTROLLING OFFICER'S REPLY

CSO024

(Question Serial No. 2246)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

1. The estimate for 2020-21 has increased 21.7% as compared with the revised estimate for 2019-20. What are the reasons for such a significant increase in the estimate?
2. A provision of \$400,000 was earmarked by the Government for the procurement of archival records relating to Hong Kong from other places in 2019-20. What are the contents of the records? Please also give a breakdown of the expenditure on the archival records procured.
3. As a trial scheme, the Public Records Office Search Room was open on Saturday mornings from 27 April 2019 onwards for members of the public with an appointment. Upon completion of the trial period, which lasted for about half a year, it was decided that opening on Saturdays would continue. Please set out the number of persons using the Public Records Office Search Room on Saturdays with a breakdown by month and the additional expenditure involved for opening on Saturdays.

Asked by: Hon MA Fung-kwok (LegCo internal reference no.: 1)

Reply:

1. The provision for the Government Records Service (GRS) for 2020-21 is \$19.9 million (21.7%) higher than the revised estimate for 2019-20. This is mainly due to the anticipated increase in general departmental expenses and expenditure for hire of services for enhancing records management work, including the comprehensive review of records retention and disposal schedules of bureaux / departments (B/Ds) and strengthening training on records management, as well as the net increase of 12 posts in 2020-21 for strengthening the services of the Public Records Office, digitising archival holdings, and assisting B/Ds in implementing electronic recordkeeping system. The increase in expenditure is partly offset by the reduced provision for replacement of minor plant and equipment.

2. In 2019-20, GRS has earmarked \$400,000 to procure archival records relating to Hong Kong from other places. A breakdown of the expenditure on the records procured by GRS is as follows:

	Item	No of records	Expenditures involved (\$)
1	The National Archives of the United Kingdom (TNA)	590	326,400
2.	The Ronald Reagan Presidential Library and Museum of the United States	43	10,200
3	The George W. Bush Presidential Library and Museum of the United States	49	30,300
	Total	682	366,900

Details of the record series are set out in the Annex. These archival records cover a variety of subjects relating to the history of Hong Kong, including the future of Hong Kong, constitutional development and reforms in Hong Kong, politics and leaders, visits of Chinese and British principal officials, the Sino-British Joint Declaration, political relationship between the Mainland and Hong Kong, nationality and citizenship, political environment of Hong Kong and international relations, the Hong Kong International Airport project, etc. The first batch of 189 duplicate archival records procured from TNA and 92 duplicate archival records procured from the Presidential Libraries and Museums of the United States are being handled and undergoing records description. They are expected to be ready for public inspection in the second quarter of 2020. The second batch of 150 and the third batch of 251 duplicate archival records procured from TNA were delivered to GRS in mid-March 2020, and are pending quality checking, handling and records description.

3. During the period from 27 April 2019 to 26 October 2019, GRS conducted a pilot to open the Search Room on Saturday mornings for the public to use and access records by appointment. The pilot was eventually made a regular service. The monthly figures of patronage are as follows:

Month	Number of patrons at GRS Search Room on Saturday mornings
April 2019	7
May 2019	13
June 2019	9
July 2019	6
August 2019	9
September 2019	9
October 2019	21
November 2019	9
December 2019	6
January 2020	12
February 2020 ^{Note}	0
Total	101

Note: In line with the Government's special work arrangement to reduce the risk of the spread of novel coronavirus in the community, the arrangement of opening the Search Room on Saturdays was suspended in February 2020 (except on 8 February). Instead, limited service by appointment was provided in the Search Room on specified days. On 8 February 2020, the Search Room was originally scheduled for opening to the public by appointment but in the end it was not opened as no appointment had been received.

As GRS operates the Search Room on Saturday mornings through internal staff deployment, it does not incur additional expenditure.

Copies of archival records procured from the National Archives of the UK (TNA) (590 items in total)		
Item	Record series	Years covered
(a)	BT 31: Board of Trade: Companies Registration Office: Files of Dissolved Companies	1863-1982
(b)	CAB 148 – Cabinet Office: Defence and Oversea Policy Committees and Sub-Committees	1967
(c)	CO 129 – War and Colonial Department and Colonial Office: Hong Kong, Original Correspondence	1930-1950
(d)	CO 537 – Colonial Office and predecessors: Confidential General and Confidential Original Correspondence	1948-1949
(e)	CO 1035 – Colonial Office: Intelligence and Security Departments: Registered Files (ISD Series)	1963-1968
(f)	DEFE 11 – Ministry of Defence: Chiefs of Staff Committee: Registered Files	1979-1987
(g)	DEFE 70 – Ministry of Defence (Army): Registered Files and Branch Folders	1976-1992
(h)	DEFE 71 – Ministry of Defence (Air): Registered Files and Branch Folders	1985-1986
(i)	FCO 21 – Foreign Office and Foreign and Commonwealth Office: Far Eastern Department	1982-1992
(j)	FCO 37 – Commonwealth Office and Foreign and Commonwealth Office: South Asia Department: Registered Files (S and FS Series)	1988
(k)	FCO 40 – Commonwealth Office and Foreign and Commonwealth Office: Hong Kong Departments	1967-1992
(l)	FCO 58 – Foreign Office and Foreign and Commonwealth Office: United Nations (Political) Department: Registered Files (UP and UL Series)	1990
(m)	FCO 98 – Foreign and Commonwealth Office: European Integration Department (External): Registered Files (E(MX) Series)	1990
(n)	FCO 160 – Foreign and Commonwealth Office: Diplomatic Reports and Diplomatic Documents	1972-1980
(o)	FCO 168 – Foreign Office and Foreign and Commonwealth Office: Information Research Department; Registered Files (O and RJ Prefix)	1962-1968
(p)	FO 371 - Foreign Office: Political Departments: General Correspondence from 1906-1966	1949
(q)	OS 62 - Ordnance Survey International Library: International Boundary Archive	1898-1995
(r)	PREM19 - Records of the Prime Minister's Office: Correspondence and Papers	1986-1994
(s)	T 220 - Treasury: Imperial and Foreign Division: Registered Files (IF series)	1948-1958
(t)	T 450 - HM Treasury: Overseas Finance Sector, External Finance Group, Balance of Payments Division: EMP (External Monetary	1991-1992

Copies of archival records procured from the National Archives of the UK (TNA) (590 items in total)		
Item	Record series	Years covered
	Policy) and ERMP (Exchange Rates and Monetary Policy) prefix records	
(u)	T 492 - HM Treasury: Home, Law and Order and successors: Registered Files (HLO and PR prefixes)	1990-1991
(v)	WO 305 - War Office and Ministry of Defence: Army Unit Historical Records and Reports	1960

Copies of archival records procured from Ronald Reagan Presidential Library & Museum (43 items in total)		
Item	Record series: Subject	Years covered
(a)	David N. Laux Files: Hong Kong	1979-1986
(b)	Richard L. Williams Files: Hong Kong Narcotics Report	1979
(c)	Wendell W. Gunn Files: Hong Kong Textile Agreement	1983
(d)	Executive Secretariat, National Security Council - Country File: Hong Kong	1982-1983
(e)	Gaston J. Sigur Files: Visit to Asia	1983

Copies of archival records procured from George W. Bush Presidential Library and Museum (49 items in total)		
Item	Record series: Subject	Years covered
(a)	White House Situation Room Files: Tiananmen Square Crisis File	1989
(b)	Thomas J. Collamore Files: China Trip Files	1985
(c)	Donald P. Gregg Files: Foreign Travel Files	1985
(d)	James R. Keith Files: Subject Files	1991-1992

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CONTROLLING OFFICER'S REPLY

CSO026

(Question Serial No. 2228)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

To facilitate the efficient management of government records, the Government Records Service (GRS) formulates and implements policies and plans for records management and archives administration, and provides storage and disposal services for inactive records.

1. Has GRS developed a series of criteria for the disposal of records? If so, what are the details? If not, what are the reasons?
2. Please advise of the quantity (linear metre) of records destroyed by GRS and the expenditure incurred over the past 5 years. Is there any estimated expenditure for the above-mentioned item in the 2020-21 Financial Year? If yes, what are the details?
3. The estimated provision of GRS for 2020-21 will be increased by 21.7%. What are the purpose and details of the increased provision?
4. There are quite a number of views in the community that the Government should enact an archives law immediately; and the Law Reform Commission is currently conducting a consultation on the enactment of archives law. Would the Government advise whether it will improve records management during this window period through the following measures:
 - (a) to review afresh the existing administrative guidelines and directives issued to government departments by GRS;
 - (b) to require senior management of the Government to instruct heads of departments to attach importance to records management and take on the relevant work in accordance with the guidelines set by GRS;
 - (c) to strictly enforce disciplinary or administrative actions in case of non-compliance; and
 - (d) to examine on a regular basis the records management work of government departments, and publish their work progress on records management and the types of records involved. If so, what are the expenditure and details? If not, what are the reasons?

Asked by: Hon MO Claudia (LegCo internal reference no.: 57)

Reply:

1. Records appraisal is an important process for ascertaining the archival value of government records under the existing regime of records management. Making reference to the experience and standards of overseas jurisdictions, Archivist grade officers in the Government Records Service (GRS) have developed a set of assessment guidelines under which records meeting any of the following conditions may be selected for permanent retention:
 - (i) documenting or reflecting the organisation, functions and activities of government agencies;
 - (ii) documenting the formulation process, implementation and outcome of significant policies, decisions, legislation and actions of the Government;
 - (iii) documenting the impact of the decisions, policies and programmes of the Government upon the physical environment, community, organisations and individuals;
 - (iv) documenting the interaction between the public and the Government as well as between the physical environment and the Government;
 - (v) documenting the legal rights and obligations of individuals, groups, organisations and the Government; or
 - (vi) containing significant or unique information or aged documents that can enrich the understanding about the history, physical environment, society, culture, economy and people of Hong Kong.
2. The quantities of records of bureaux/departments (B/Ds) approved for destruction in the past 5 years are tabulated as follows :

Year	Quantity of records (linear metre)
2015	61 418
2016	56 633
2017	67 955
2018	62 810
2019	63 750

Under the current records management system, B/Ds need to obtain the prior agreement of the GRS Director before destructing their time-expired records in accordance with a set of mandatory procedures through their own resources. GRS does not have information on the expenditure incurred by B/Ds for the destruction of records over the past 5 years, nor the provisions reserved for this purpose in 2020-21.

3. The provision of GRS for 2020-21 is \$19.9 million (21.7%) higher than the revised estimate for 2019-20. This is mainly due to the anticipated increase in general departmental expenses and expenditure for hire of services for enhancing records management work, including the comprehensive review of records retention and disposal schedules of B/Ds and strengthening training on records management, as well as the net increase of 12 posts in 2020-21 for strengthening the services of the Public Records Office,

digitising archival holdings, and assisting B/Ds in their implementing electronic recordkeeping system. The increase in expenditure is partly offset by the reduced provision for replacement of minor plant and equipment.

4. Regarding the enactment of archives law, the Law Reform Commission (LRC) has completed the public consultation on archives law, and is analysing the responses received during the consultation period. The Government will actively take follow-up action after receiving the report from LRC. At the present stage, the Government will continue to enhance its records management work, including providing comprehensive records management training to government officers at different levels, and the newly-recruited government officers in particular, and increasing the number of training targets on records management from 4 000 man/time to 10 000 man/time per annum. In addition, GRS is taking forward a number of enhancement measures, such as reviewing B/Ds' records retention and disposal schedules by phases to improve disposal procedures and facilitate timely transfer of records with archival value to GRS for proper retention, supporting full implementation of the electronic record-keeping system in B/Ds by the end of 2025, and extending the service hours of GRS' Search Room to Saturday mornings from April 2019 onwards for members of the public with prior appointment.

GRS will also continue to review regularly the existing guidelines and codes of practice issued to B/Ds. In 2019, GRS completed the review of *Publication No. 1: A Practical Guide to Records Scheduling and Disposal* and *Guidelines for Transferring Records to Public Records Office for Permanent Retention*. Under the current mechanism, government officers should strictly follow the records management requirements promulgated by the Government. Government officers who fail to comply with the mandatory requirements on records management and/or are found negligent while performing records management duties will be subject to disciplinary actions. Depending on the circumstances and severity of the non-compliance, punishments ranging from verbal or written warnings, reprimand, severe reprimand, reduction in rank, compulsory retirement to dismissal may be given. Meanwhile, GRS will continue to implement a two-pronged approach to review B/Ds' records management practices through self-assessment conducted by B/Ds alongside with departmental records management reviews conducted by GRS. Upon completion of these self-assessments and reviews, the Director of Administration will convey the findings and recommendations for improvement to the heads of B/Ds concerned for their rectification as soon as possible. GRS will also closely monitor the progress of the B/Ds in implementing the recommendations to ensure that their records management practices comply with the requirements of the Government.

To enhance the transparency of government records management, GRS introduces its major functions, yearly work, key statistics and newly-opened records through its annual reports. Moreover, information on the destruction of records by B/Ds per annum (including the quantities and subjects of records) as well as manuals, guidelines and circulars on government records management are uploaded onto GRS' website for public access.

As the above tasks are part of the ongoing work of GRS, we are unable to calculate the itemised expenditure for them in 2020-21.

- End -

CONTROLLING OFFICER'S REPLY

CSO047

(Question Serial No. 3862)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

According to the Programme, it is the responsibility of the Government Records Service (GRS) to identify and preserve records of archival value, valuable government publications and printed materials, and provide storage and disposal services for inactive records. In this connection, please provide in tabular form the following information:

- (1) the total number (and linear metres) of records, publications and printed materials transferred or pending transfer by government departments that were appraised by GRS in the past year;
- (2) the total number (and linear metres) of records, publications and printed materials transferred by government departments that were retained and preserved by GRS in the past year; and
- (3) the total number (and linear metres) of records, publications and printed materials appraised by government departments that were approved for destruction by GRS in the past year.

Asked by: Hon CHAN Chi-chuen (LegCo internal reference no.: 160)

Reply:

Records appraisal is an important process for ascertaining the archival value of government records. Archivist grade officers of the Government Records Service (GRS) have developed a set of appraisal guidelines based on the experience of and standards adopted by other overseas jurisdictions. Records likely to be selected for permanent retention should possess one of the following qualities:

- (i) documenting or reflecting the organisation, functions and activities of government agencies;
- (ii) documenting the formulation process, implementation and outcome of significant policies, decisions, legislation and actions of the Government;

- (iii) documenting the impact of the decisions, policies and programmes of the Government upon the physical environment, community, organisations or individuals;
- (iv) documenting the interaction between the public and the Government as well as between the physical environment and the Government;
- (v) documenting the legal rights and obligations of individuals, groups, organisations and the Government; or
- (vi) containing significant or unique information or aged documents that can enrich the understanding about the history, physical environment, society, culture, economy and people of Hong Kong.

Bureaux/Departments (B/Ds) are required to transfer records identified as having archival value to GRS for permanent retention according to the relevant record disposal schedules.

As for destruction of records, B/Ds should take into account the administrative, operational, fiscal and legal requirements as well as the archival value of the records when disposing records. All requests for destruction of records should be processed in accordance with the requirements set out in the relevant disposal schedules approved by GRS. Whether a record possesses archival value or potential archival value should have been determined at the time when disposal schedules were drawn up. Time-expired records having no archival value should only be destroyed with GRS Director's prior agreement. For records having potential archival value, they would be further appraised by the Public Records Office of GRS. Time-expired records having archival value would be identified and transferred to GRS for permanent retention, and only those confirmed to be of no archival value would be agreed by GRS Director for destruction.

The numbers and linear metres (lm) of records appraised, transferred to GRS for permanent retention and approved for destruction in 2019 are as follows:

Records appraised		Records transferred to GRS for permanent retention		Records approved for destruction*	
No.	lm	No.	lm	No.	lm
132 032	4 029	55 223	610	94 343 000	63 750

**As regards records referred to in this column, routine records (mainly programme records) of 10 departments took up over 92% of the number of records (over 52% of lm). Such records include arrival and departure cards of the Immigration Department; computer printouts of tax-related systems of the Inland Revenue Department; import and export cargo manifests of the Census and Statistics Department and the Trade and Industry Department; licensing transaction records of the Transport Department; public files of companies registered under the Companies Ordinance of the Companies Registry; various types of general and departmental forms of the Hong Kong Police Force; records relating to fire service ambulance operations of the Fire Services Department; request forms for laboratory tests of the Department of Health; and counterfoils of Government Rent Demand Notes of the Lands Department.*

As for publications and printed materials, the Central Preservation Library for Government Publications (CPL) selects and preserves government publications and printed materials with permanent retention value. B/Ds will forward a copy of their new publications and printed materials to CPL for selection. While CPL is not responsible for granting approval for the destruction of B/Ds' library items, it will select suitable library items for preservation. In 2019, CLP has received 2 087 publications and printed materials and selected 602 items for preservation. We do not keep statistics in "linear metre" in respect of the selected library items.

- End -

CONTROLLING OFFICER'S REPLY

CSO048

(Question Serial No. 3864)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

According to Programme (2), the estimated financial provision for the Government Records Service for 2020-21 is \$111.7 million, 21.7% higher than the revised estimate for 2019-20. What are the reasons?

Asked by: Hon CHAN Chi-chuen (LegCo internal reference no.: 166)

Reply:

The provision for the Government Records Service for 2020-21 is \$19.9 million (21.7%) higher than the revised estimate for 2019-20. This is mainly due to the anticipated increase in general departmental expenses and expenditure for hire of services for enhancing records management work, including the comprehensive review of records retention and disposal schedules of bureaux / departments (B/Ds) and strengthening training on records management, as well as the net increase of 12 posts in 2020-21 for strengthening the services of the Public Records Office, digitising archival holdings, and assisting B/Ds in implementing electronic recordkeeping system. The increase in expenditure is partly offset by the reduced provision for replacement of minor plant and equipment.

- End -

CONTROLLING OFFICER'S REPLY

CSO060

(Question Serial No. 5466)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

How many archival records have been inventoried as stock by the Government Records Service (GRS) but not yet been included in the index of holdings (i.e. the online catalogue) and made available for public inspection? If there are such records, please set out in table form the departments keeping the records before transfer to the GRS; year of transfer to the GRS; category of the records (administrative/programme records); subject/title of the records; covering years of the records; quantity (number and linear metre); and reason for not including in the online catalogue.

Asked by: Hon CHEUNG Chiu-hung, Fernando (LegCo internal reference no.: 1377)

Reply:

Similar to the practice of other overseas archives, the Government Records Service (GRS) needs to carry out accession and description work for the archival records transferred from bureaux/departments (B/Ds) for permanent retention before they can be incorporated into GRS' inventory and be included in the index of holdings. Making reference to the practices of other overseas archives and taking into account the views of B/Ds, GRS does not make public in the online catalogue the information on archival records which contain personal data, those which have been closed for less than 30 years with sensitive content (such as content involving security and external affairs), and those which have been closed for more than 30 years but are considered by B/Ds concerned to be not yet ready for opening after review. Nevertheless, every year, GRS will request B/Ds to review archival records which are approaching the 30-year closure period so that the relevant records can be made available for public inspection upon the expiry of the closure period. In case B/Ds consider that individual records require a longer closure period after review, they must review these records again at least once every 5 years. As and when the records concerned are opened, GRS will immediately arrange for the relevant information to be uploaded onto the online catalogue.

- End -

CONTROLLING OFFICER'S REPLY

CSO071

(Question Serial No. 3616)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

Regarding the enhancement of records management work in the Government, including strengthening records management training for newly-recruited government officers; the promotion of electronic records management in the Government and the provision of support and assistance to bureaux and departments, please advise of the following:

(1) Please list in the table below information on training and advisory services that the Government Records Service (GRS) provided to Government bureaux and departments in 2019:

Year	Bureau/ Department (in alphabetical order)	Number of government records management training courses	Number of topical records management training courses	Number of staff who have taken government records management training courses	Rank distribution of staff (from high to low) who have taken government records management training courses	Number of staff who have taken government records management training courses more than once	Topic areas of training courses
2018							

(2) Please list in the table below information regarding the numbers of public requests for government records in 2019:

Year	Number of requests for government records (percentage change as compared with 2018)	Number of successful requests for government records (percentage change as compared with 2018)	Number of failed requests for government records (percentage change as compared with 2018)	Reasons for failed requests for government records
2019				

(3) Please list in the table below information on the transfer of records to the GRS for retention in 2019:

Year	Number of bureaux/departments that have transferred records for retention (percentage change as compared with 2018)	Number and linear metres of records retained (percentage change as compared with 2018)	Number and linear metres of records approved for destruction (percentage change as compared with 2018)	Number of electronic records retained through the electronic recordkeeping system (please list by department)
2019				

(4) What are the details of the additional establishment for the GRS in 2020-21?

Asked by: Hon MOK Charles Peter (LegCo internal reference no.: 133)

Reply:

(1) The information on training and advisory services which the Government Records Service (GRS) provide for government bureaux and departments (B/Ds) in 2019 is as follows:

B/Ds (in alphabetical order)	Number of training courses on government records management	Number of topical training courses on records management	Number of staff who have received government records management training	Distribution of staff by rank (in descending order) who have participated in training courses on government records management	Topical areas of training courses
73 B/Ds in total. See Annex	82	29	5 049	Directorate Pay Scale Point 1 Master Pay Scale Point 49 to 1 (or equivalent)	Regular and topical training courses/ workshops/ seminars/briefings organised for departmental records managers, registry supervisors and records users covering the following topics: <u>Regular courses</u> a. government records management overview b. classification and coding

					<ul style="list-style-type: none"> c. records creation and collection d. filing practices e. records scheduling and disposal f. management of administrative and programme records g. storage, custody, access control and tracking, and preservation h. introduction of electronic records management (ERM) and electronic recordkeeping system (ERKS) <p><u>Topical courses</u></p> <ul style="list-style-type: none"> a. departmental records management policy b. mandatory records management requirements and good practices c. vital records protection d. prevention of loss and unauthorised destruction of records e. archival records management f. archives law g. measures for enhancing records management
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GRS does not keep information on the number of staff who have participated in training courses on government records management for more than once.

Moreover, in response to the Government's decision to rollout ERKS to all B/Ds by 2025, the GRS has been strengthening ERM training for government officers since 2019

and has organised 14 seminars on ERM in the same year attended by a total of 4 860 participants. These ERM training courses included introduction of ERKS and preparation for ERKS implementation, ERKS implementation: review of records classification scheme, and basic training on ERKS. The ranks of staff receiving such training comprise Directorate Pay Scale Point 3 to 1 and Master Pay Scale Point 49 to 1 (or equivalent).

- (2) Information on the requests for access to government records made by the public in 2019 is as follows:

Number of requests for access to government records made by the public (Note 1) (percentage change as compared with 2018)	Number of successful requests for access to government records (Note 2)	Number of requests for access to government records which cannot be acceded to (Note 2)	Reasons for being unable to accede to the requests for access to government records
2 940 (-1.31%)	2 917	0	/

- (3) B/Ds should take into account the administrative, operational, fiscal and legal requirements as well as the archival values of the records when disposing government records. All requests for destruction of records should be processed in accordance with the requirements set out in the relevant records retention and disposal schedules (disposal schedules) approved by GRS.

Whether a record possesses archival value/potential archival value or not should have been determined when disposal schedules were drawn up. Time-expired records having no archival value should only be destroyed with GRS Director's prior agreement. For records having potential archival value, they would be further appraised by GRS, and those appraised to have archival value will be transferred to GRS for permanent retention. GRS Director will only agree to destroy those which have been confirmed to have no archival value.

Information on records transferred to GRS for retention and those approved for destruction in 2019 is as follows:

Number of B/Ds which had transferred their records to GRS for retention (percentage change as compared with 2018)	Records retained		Records approved for destruction (Note 4)		Number of electronic records kept in the ERKS retained (please list by department)
	Number (percentage change as compared with 2018)	Linear metre (percentage change as compared with 2018)	Number ('000) (percentage change as compared with 2018)	Linear metre (percentage change as compared with 2018)	
50 (+38.88%)	55 223 (-32.72%) (Note 3)	610 (+0.66%) (Note 3)	94 343 (-5.71%)	63 750 (+1.50%)	0 (Note 5)

- (4) In 2020-21, 12 posts will be created in GRS for strengthening the services of the Public Records Office (PRO), digitising archival holdings, as well as the supporting and promotion work to assist B/Ds in implementing ERKS, etc. Details of the posts are as follows:

	Rank and Number of Posts
(i)	For service provision of the PRO
	1 Assistant Archivist
	1 Assistant Clerical Officer
	1 Clerical Assistant
(ii)	For digitising holdings
	1 Photographer I
	2 Photographers II
(iii)	For supporting and promotion work to assist B/Ds in implementing ERKS (time-limited posts)
	1 Senior Executive Officer
	5 Executive Officers I

Note

- As at the end of February 2020, 16 requests made in 2019 were still being processed, 3 cases withdrawn by applicants, and 4 re-directed to B/Ds concerned for access to information through their regular services.
- As some requests in 2019 are still under processing, we are unable to calculate the figures on the “percentage change as compared with 2018”.
- The 2 record measurement units, “Linear metre” and “number”, are used in different stages of records management. “Linear metre” is used for the transfer of records and management of repositories, while “number” is used for accessioning and holdings management. Moreover, since thickness of each record varies, the number and the linear metre of records retained are not necessarily in proportion.
- Routine records (mainly programme records) of 10 departments took up over 92% of the number of records (over 52% of linear metres). Such records include arrival and departure cards of the Immigration Department; computer printouts of tax-related systems of the Inland Revenue Department; import and export cargo manifests of the Census and Statistics Department and the Trade and Industry Department; licensing transaction records of the Transport Department; public files of companies registered under the Companies Ordinance of the Companies Registry; various types of general and departmental forms of the Hong Kong Police Force; records relating to fire service ambulance operations of the Fire Services Department; request forms for laboratory tests of the Department of Health; and counterfoils of Government Rent Demand Notes of the Lands Department.
- To date, 11 B/Ds have implemented or are developing their ERKS. The electronic records kept in the ERKS of these B/Ds are not yet due for transfer to the GRS for permanent retention.

Training and Advisory Services provided by GRS in 2019

B/Ds involved (in alphabetical order)

Agriculture, Fisheries and Conservation Department
Architectural Services Department
Audit Commission
Auxiliary Medical Service
Buildings Department
Census and Statistics Department
Chief Executive's Office
Chief Secretary for Administration's Office
Civil Aid Service
Civil Aviation Department
Civil Engineering and Development Department
Civil Service Bureau
Commerce and Economic Development Bureau
Companies Registry
Constitutional and Mainland Affairs Bureau
Correctional Services Department
Customs and Excise Department
Department of Health
Department of Justice
Development Bureau
Drainage Services Department
Education Bureau
Electrical and Mechanical Services Department
Environment Bureau and Environmental Protection Department
Financial Secretary's Office
Financial Services and the Treasury Bureau
Fire Services Department
Food and Environmental Hygiene Department
Food and Health Bureau
Government Flying Service
Government Laboratory
Government Logistics Department

Government Property Agency
Highways Department
Home Affairs Bureau
Home Affairs Department
Hong Kong Monetary Authority
Hong Kong Observatory
Hong Kong Police Force
Hongkong Post
Housing Department
Immigration Department
Independent Commission Against Corruption
Information Services Department
Inland Revenue Department
Innovation and Technology Bureau
Intellectual Property Department
Invest Hong Kong
Joint Secretariat for the Advisory Bodies on Civil Service and Judicial Salaries and Conditions of Service
Judiciary
Labour and Welfare Bureau
Labour Department
Land Registry
Lands Department
Legal Aid Department
Leisure and Cultural Services Department
Marine Department
Office of the Communications Authority
Official Receiver's Office
Planning Department
Policy Innovation and Co-ordination Office
Radio Television Hong Kong
Rating and Valuation Department,
Registration and Electoral Office
Secretariat, Commissioner on Interception of Communications and Surveillance
Security Bureau
Social Welfare Department

Trade and Industry Department

Transport and Housing Bureau (Transport)

Transport Department

Treasury

Water Supplies Department

Working Family and Student Financial Assistance Agency

- End -

CONTROLLING OFFICER'S REPLY**CSO079****(Question Serial No. 4051)**

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

Regarding the Analysis of Financial and Staffing Provision, the provision for 2020-21 is \$19.9 million higher than the revised estimate for 2019-20, partly due to the creation of 12 additional posts. Please detail the duties of these posts and the salaries expenditure involved.

Asked by: Hon WONG Ting-kwong (LegCo internal reference no.: 52)

Reply:

The Government Records Service will earmark sufficient provision in 2020-21 for the creation of 12 new posts for strengthening the services of the Public Records Office (PRO), digitising archival holdings, as well as the supporting and promotion work to assist bureaux / departments (B/Ds) in implementing electronic recordkeeping system (ERKS). The salary expenditures of the posts are as follows:

	Post and Number	Salary expenditure (\$)
(i)	Services of PRO	
	1 Assistant Archivist	534,660
	1 Assistant Clerical Officer	288,840
	1 Clerical Assistant	225,540
(ii)	Digitising archival holdings	
	1 Photographer I	306,540
	2 Photographers II	451,080
(iii)	Supporting and promotion work to assist B/Ds in implementing ERKS (time-limited posts)	
	1 Senior Executive Officer	1,124,520
	5 Executive Officers I	4,037,700

- End -

CONTROLLING OFFICER'S REPLY**S-CSO001****(Question Serial No. S010)**

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

Further to the Reply Serial No. CSO004(d), please provide the following in table form:

- (a) the file titles of the 1 245 non-confidential programme files destroyed by the Hong Kong Police Force (HKPF) without authorisation in 2016. If unavailable, please advise of the records series titles of the 1 245 non-confidential programme files, and the date ranges they covered;
- (b) the file titles of the 1 500 non-confidential programme files and the 17 files on police operation destroyed by the HKPF without authorisation in 2017. If unavailable, please advise of the records series titles of the 1 500 non-confidential programme files and the 17 files on police operation, as well as the date ranges they covered.

Asked by: Hon CHAN Tanya

Reply:

Regarding the 3 cases of unauthorised destruction of records by the Hong Kong Police Force as mentioned in the reply, the requested information is provided below:

Year	No. of files involved	Records Series Title	Date range
2016	1 245	Miscellaneous investigation case files (Pol. 152)	2012-2014
2017	1 500	Crime investigation case files [Note: The above records series title covers crime investigation files and miscellaneous investigation files]	2001-2012
2017	17	Files relating to police operation	1997-2011

- End -

CONTROLLING OFFICER'S REPLY

S-CSO003

(Question Serial No. S015)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

This is a follow-up question in relation to Reply Serial No. CSO004.

It was mentioned in part (a) that there were a total of 4 cases involving the loss of confidential records from 2015 to 2018. Would the Government advise of the investigation results, the number of public officers subject to disciplinary action and their respective departments?

Asked by: Hon CHU Hoi-dick

Reply:

In accordance with General Circular No. 2/2009 "Mandatory Records Management Requirements", a bureau/department (B/D) should report the loss of records, irrespective of whether they are confidential or not, to the Government Records Service (GRS) immediately and submit to GRS an investigation report within 3 months, setting out the circumstances leading to the loss, whether it is necessary or possible to reconstruct the records, measures to prevent recurrence, and whether it is necessary to take disciplinary or other administrative action. GRS will consider the report to monitor if the follow-up actions taken by the B/D in respect of the investigation of the loss case is appropriate, and to make recommendations for improvement from the records management perspective.

Government officers who fail to comply with the mandatory requirements on records management and/or are found negligent while performing records management duties will, depending on the circumstances and severity of the non-compliance, be subject to administrative actions (such as cautioning) or disciplinary actions (disciplinary punishments to be imposed include verbal/written warning, reprimand, severe reprimand, reduction in rank, compulsory retirement or dismissal, etc.). While the Head of the B/D concerned will decide on the disciplinary action or administrative action to be taken according to the established regulations and procedures, GRS will consider the decisions of the B/D, and if

necessary, recommend or request the B/D to seriously reconsider the appropriate disciplinary action or administrative action to be taken.

Regarding the 4 cases of loss of confidential records from 2015 to 2019, the B/Ds concerned have completed investigation. The B/Ds concerned and GRS have taken follow-up actions set out below:

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
2015	Hong Kong Police Force (HKPF)	14	No	0	<ul style="list-style-type: none"> • Investigation result revealed that the loss of records was due to the failure of the officer-in-charge of the registry of HKPF in keeping the records properly and destroying records in a timely manner. The records concerned could not be reconstructed. However, since the officer concerned had left the service in 2014, no disciplinary action or other administrative action was taken against any staff. • GRS had recommended HKPF to review the existing practice in handling records, including documenting file movement and the records destruction process. HKPF should also strengthen training on records management and remind staff of the importance of the proper keeping and access control of records. • HKPF has reminded relevant staff of the importance of safekeeping of records as well as the proper disposal procedures of records. • After the incident, GRS and HKPF jointly organised a seminar in 2017 as well as 6 train-the-trainer workshops

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
					in 2018 and 2019. These seminars and workshops were presented by GRS staff for civilian grades and disciplined services staff of various ranks in HKPF with a view to enhancing their awareness and understanding of good records management.
2016	Buildings Department (BD)	2	No	0	<ul style="list-style-type: none"> • Investigation result revealed that the records could not be reconstructed. As BD was unable to identify the staff who should be held accountable for the loss, no disciplinary action or administrative action was taken. • GRS has recommended BD to review the existing practice in records handling, including reviewing the condition of physical storage and management of records, tracking records movement and documenting the management of records under administrative changes (such as re-organisation), strengthening training on records management and reminding staff of the importance of proper records management. • Arising from the incident, BD conducted a briefing on safekeeping of records in February 2017.
2017	Independent Commission	1	No	0	<ul style="list-style-type: none"> • Investigation result revealed

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
	Against Corruption (ICAC)				<p>that the department has reconstructed the records (except the handwritten information which could not be reconstructed).</p> <ul style="list-style-type: none"> • As ICAC was unable to identify the staff who should be held accountable for the loss, no disciplinary action or administrative action was taken. • GRS has recommended ICAC to conduct regular inventory checks on its records, update records inventory in a timely manner and strengthen training on records management. • Arising from the incident, ICAC has reminded all staff in the section concerned of the procedures of good records management, in particular the proper documentation of records movement.
2018	HKPF	1	No	4	<ul style="list-style-type: none"> • Investigation result revealed that HKPF had reconstructed the part containing confidential information. HKPF has issued verbal warnings to the 4 officers concerned. • GRS has also recommended HKPF to review the existing practice in handling records, conduct regular inventory checks and strengthen training on records management.

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
					<ul style="list-style-type: none"> • Arising from the incident, HKPF has advised the officers concerned to keep the records properly and ensure an accurate documentation of records movement through regular checking. • As mentioned in the first case above, GRS and HKPF jointly organised 6 train-the-trainer workshops with HKPF in 2018 and 2019. These seminars and workshops were presented by GRS staff for civilian grades and disciplined services staff of various ranks with a view to enhancing their awareness and understanding of good records management.
	Total	18		4	

- End -

CONTROLLING OFFICER'S REPLY

S-CSO004

(Question Serial No. SV001)

Head: (142) Government Secretariat: Offices of the Chief Secretary for Administration and the Financial Secretary

Subhead (No. & title): (000) Operational expenses

Programme: (2) Government Records Service

Controlling Officer: Director of Administration (Ms Esther LEUNG)

Director of Bureau: Director of Administration

Question:

This is a follow-up question in relation to Reply Serial No. CSO004.

The Government disclosed in part (a) of the reply that from 2015 to 2019, the Government Records Service received and processed a total of 4 cases of loss of confidential records involving 18 confidential records of government departments. Please provide information on the details of follow-up action taken on the cases, including the progress of the follow-up action, whether any of the staff involved has been punished, whether the cases involve criminal offences, etc.

Asked by: Hon CHU Hoi-dick

Reply:

In accordance with General Circular No. 2/2009 "Mandatory Records Management Requirements", a bureau/department (B/D) should report the loss of records, irrespective of whether they are confidential or not, to the Government Records Service (GRS) immediately and submit to GRS an investigation report within 3 months, setting out the circumstances leading to the loss, whether it is necessary or possible to reconstruct the records, measures to prevent recurrence, and whether it is necessary to take disciplinary or other administrative action. GRS will consider the report to monitor if the follow-up actions taken by the B/D in respect of the investigation of the loss case is appropriate, and to make recommendations for improvement from the records management perspective.

Government officers who fail to comply with the mandatory requirements on records management and/or are found negligent while performing records management duties will, depending on the circumstances and severity of the non-compliance, be subject to administrative actions (such as cautioning) or disciplinary actions (disciplinary punishments to be imposed include verbal/written warning, reprimand, severe reprimand, reduction in rank, compulsory retirement or dismissal, etc.). While the Head of the B/D concerned will decide on the disciplinary action or administrative action to be taken according to the

established regulations and procedures, GRS will consider the decisions of the B/D, and if necessary, recommend or request the B/D to seriously reconsider the appropriate disciplinary action or administrative action to be taken.

Regarding the 4 cases of loss of confidential records from 2015 to 2019, the B/Ds concerned have completed investigation. The B/Ds concerned and GRS have taken follow-up actions set out below:

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
2015	Hong Kong Police Force (HKPF)	14	No	0	<ul style="list-style-type: none"> • Investigation result revealed that the loss of records was due to the failure of the officer-in-charge of the registry of HKPF in keeping the records properly and destroying records in a timely manner. The records concerned could not be reconstructed. However, since the officer concerned had left the service in 2014, no disciplinary action or other administrative action was taken against any staff. • GRS had recommended HKPF to review the existing practice in handling records, including documenting file movement and the records destruction process. HKPF should also strengthen training on records management and remind staff of the importance of the proper keeping and access control of records. • HKPF has reminded relevant staff of the importance of safekeeping of records as well as the proper disposal procedures of records. • After the incident, GRS and HKPF jointly organised a

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
					<p>seminar in 2017 as well as 6 train-the-trainer workshops in 2018 and 2019. These seminars and workshops were presented by GRS staff for civilian grades and disciplined services staff of various ranks in HKPF with a view to enhancing their awareness and understanding of good records management.</p>
2016	Buildings Department (BD)	2	No	0	<ul style="list-style-type: none"> • Investigation result revealed that the records could not be reconstructed. As BD was unable to identify the staff who should be held accountable for the loss, no disciplinary action or administrative action was taken. • GRS has recommended BD to review the existing practice in records handling, including reviewing the condition of physical storage and management of records, tracking records movement and documenting the management of records under administrative changes (such as re-organisation), strengthening training on records management and reminding staff of the importance of proper records management. • Arising from the incident, BD conducted a briefing on safekeeping of records in February 2017.

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
2017	Independent Commission Against Corruption (ICAC)	1	No	0	<ul style="list-style-type: none"> • Investigation result revealed that the department has reconstructed the records (except the handwritten information which could not be reconstructed). • As ICAC was unable to identify the staff who should be held accountable for the loss, no disciplinary action or administrative action was taken. • GRS has recommended ICAC to conduct regular inventory checks on its records, update records inventory in a timely manner and strengthen training on records management. • Arising from the incident, ICAC has reminded all staff in the section concerned of the procedures of good records management, in particular the proper documentation of records movement.
2018	HKPF	1	No	4	<ul style="list-style-type: none"> • Investigation result revealed that HKPF had reconstructed the part containing confidential information. HKPF has issued verbal warnings to the 4 officers concerned. • GRS has also recommended HKPF to review the existing practice in handling records, conduct regular inventory checks and strengthen training on records

Year	Department concerned	Number of confidential records involved	Whether criminal offence is involved	Number of staff subject to disciplinary action and administrative action	Follow-up action
					<p>management.</p> <ul style="list-style-type: none"> • Arising from the incident, HKPF has advised the officers concerned to keep the records properly and ensure an accurate documentation of records movement through regular checking. • As mentioned in the first case above, GRS and HKPF jointly organised 6 train-the-trainer workshops with HKPF in 2018 and 2019. These seminars and workshops were presented by GRS staff for civilian grades and disciplined services staff of various ranks with a view to enhancing their awareness and understanding of good records management.
	Total	18		4	

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